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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
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| 09/389,939 | 09/03/1999 | PAUL T. GREEN | 321.5452USU | 6068 |

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PAUL D GREELEY ESQ
OHLANDT GREELEY RIGGIERO & PERLE LLP
ONE LANDMARK SQUARE 9TH FLR
STAMFORD, CT 069012682

EXAMINER

CUFF, MICHAEL A

| | |
|----------|--------------|
| ART UNIT | PAPER NUMBER |
|----------|--------------|

3627

DATE MAILED: 03/11/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/389,939

Applicant(s)

Paul Green

Examiner

Michael Cuff

Art Unit

3627

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on Dec 23, 2002
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 18-29 and 42-47 is/are pending in the application.
- 4a) Of the above, claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 18-29 and 42-47 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claims _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

*See the attached detailed Office action for a list of the certified copies not received.

- 14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s). _____ 6) ☐ Other:

Art Unit: 3627

DETAILED ACTION

Election/Restriction

1. Applicant traverses examiner's restriction. The examiner does not concur. The applicant's apparatus (computer system) could be used to perform a different financial decision support processes. It is well known that computers have the ability to perform many different functions. Not all of these functions are shown in applicant's process.
2. This application contains claims 1-17 and 30-41 drawn to an invention nonelected with traverse in Paper No. 8. A complete reply to the final rejection must include cancellation of nonelected claims or other appropriate action (37 CFR 1.144) See MPEP § 821.01.

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

4. Claims 18-21, 24-27, 42 and 44-47 are rejected under 35 U.S.C. 102(b) as being anticipated by Marshall.

Marshall shows, figures 2, 3a, 9 and 10, a virtual reality generator for use with financial information. Figure 2 is an example of the interface panel generated by the user interface module.

Art Unit: 3627

(presenting on a viewing screen a plurality of investment parameters which are selectable by the user as proposed filter conditions (parameters). Figure 3a shows a population chart (histogram, frequency of occurrence groupings, some figures are bar shaped) of financial instruments in different categories. Figures 9 and 10 show the ability to add and delete filter conditions. (capability of many different filter passes, ie 1 to n, actuators) Figure 10 also shows formula builders (plurality of limiters).

Claim Rejections - 35 USC § 103

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 22-23, 28-29 and 43 are rejected under 35 U.S.C. 103(a) as being unpatentable over Marshall, as applied in claims 21, 27 and 42, in view of Maggioncalda et al.

Marshall shows all of the limitations of the claims except for specifying that the parameter limiter and the histogram are displayed on the same screen or at least in close proximity.

Maggioncalda et al. teaches, figure 4, a user interface for a financial advisory system where the filter conditions are on the same screen as the resultant bar graph in order to provide the ease of seeing both without flipping from screen to screen.

Art Unit: 3627

Based on the teaching of Maggioncalda et al., it would have been obvious to one of ordinary skill in the art, at the time the invention was made, to modify the Marshall virtual reality generator to provide the user interface module on the same viewing screen as the population chart in order to provide the ease of seeing both without flipping from screen to screen. In virtual reality, this could be provided as a “pop-up” screen in the virtual environment.

Response to Arguments

7. Applicant's arguments filed 12/23/02 have been fully considered but they are not persuasive.

Applicant asserts that Marshall teaches only a single filter pass. The examiner does not concur. Marshall shows a plurality of parameters/conditions which require a filter pass for each parameter.

Applicant asserts that Marshall lacks a histogram. The examiner does not concur. The term “histogram” is a broadly defined chart. Marshall's figure 3a-3d does show frequency of occurrence groupings and some of the populations have all bars.

Applicant asserts that there is no motivation and/or hindsight to modify Marshall based on Maggioncalda's teaching. The examiner does not concur. Maggioncalda et al. teaches, figure 4, a user interface for a financial advisory system where the filter conditions are on the same screen as the resultant bar graph in order to provide the ease of seeing both without flipping from screen

Art Unit: 3627

to screen. The examiner believes that one would want to see conditions and results at the same time. There is no hindsight in the teaching or motivation.

Conclusion

8. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

9. Any inquiry concerning this communication should be directed to Michael Cuff at telephone number (703) 308-0610. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 308-1113. The fax phone number for this Group is (703) 872-9326. (After Final special fax number (703) 872-9327) The customer service number is (703) 872-9325.

Michael Cuff 3/10/03
Michael Cuff
March 10, 2003